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November 8, 2022

VIA ECF

Honorable Paul G. Gardephe
United States District Judge
United States District Court for the Southern District of New York
Thurgood Marshall Courthouse
40 Foley Square, Room 705
New York, New York 10007

**RE: *Sullivan v. Hwang, et al.*, Case No. 1:22-cv-5675-PCG
Response to Court's Request for Plan Documents**

Dear Judge Gardephe:

This Firm represents Plaintiff Brendan Sullivan in the above captioned action. Please accept this as our initial response to Your Honor's November 7, 2022 request for all relevant Plan agreements. We have conferred with defendants Archegos Capital Management, LP ("ACM") and Archegos Fund LP ("Fund") (together "Archegos"), and are authorized to inform the Court that they join in this response. Enclosed please find the following documents that Plaintiff and Archegos are in agreement on:

- Exhibit A- the 2018 Elective Plan Contract
- Exhibit B- the 2019 Elective Plan Contract
- Exhibit C- the 2020 Elective Plan Contract
- Exhibit D- Brendan Sullivan's 2019 Mandatory Plan Contract
- Exhibit E- Brendan Sullivan's 2020 Mandatory Plan Contract

Plaintiff also attaches Exhibit F, Brendan Sullivan's 2018 Mandatory Plan Contract. Plaintiff asserts this is the operative 2018 Mandatory Plan Contract.

We are continuing to confer with counsel for Archegos about the 2016, 2017, and 2018 Mandatory Plan Contracts, and will supplement this letter as soon as possible.



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Sincerely,

BROWN RUDNICK LLP

A handwritten signature in black ink, appearing to read 'Michael J. Bowe'. The signature is stylized with a large, sweeping 'M' and a long horizontal stroke extending to the right.

Michael J. Bowe

cc: All Counsel, via ECF